
Environmental and social management framework

Eighth Operational Phase of the GEF Small Grants Programme (Part 1) – SGP OP8

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Abbreviations and Acronyms:

AMR	Annual Monitoring Report
CBO	Community based organization
CPMT	Central Programme Management Team
CSO	Civil society organization
ESMF	Environmental and social management framework
FPIC	Free, prior and informed consent
GEF	Global Environment Facility
GRM	Grievance Redress Mechanism
ICCA-GSI	Global Support Initiative for Indigenous Peoples and Community-conserved Territories and Areas
IPs	Indigenous Peoples
NC	National Coordinator
NGO	Non-governmental organization
NHI	National Host Institution
NSC	National Steering Committee
PA	Programme Assistant
PIMS	Project information management system
PIR	Project implementation report
SECU	Social and Environmental Compliance Unit
SES	Social and environmental standards
SESP	Social and environmental screening procedure
SGP	Small Grants Programme
SRM	Stakeholder Response Mechanism
UNDP	United Nations Development Programme
UNDP CO	UNDP Country Office

1 Executive summary

This Environmental and Social Management Framework (ESMF) has been prepared for the submission of the UNDP project proposal “Eighth Operational Phase of the GEF Small Grants Programme (Part 1) – SGP OP8-Part 1” to the GEF. Its purpose is to assist in the assessment and management of potential environmental and social impacts. The framework forms the basis upon which Environmental and Social Management Plan(s) will be developed so as to ensure full compliance with the requirements of UNDP’s Social and Environmental Standards. The ESMF will be implemented by the SGP National Coordinators in the beneficiary countries and supervised by the Central Programme Management Team, and monitored throughout the duration of the implementation phase. Piloting of the safeguards procedures that were initiated under OP7 and outlined here in the ESMF will continue under OP8-Part 1. As such, the ESMF will be reviewed and updated regularly, and adjustments will be made as further information is obtained from the piloting.

Preliminary analysis and screening conducted during the project development phase via UNDP’s Social and Environment Screening Procedure (SESP) identified eight potential social and environmental risks associated with project activities. The screening procedure established that the project is rated as being of Moderate risk, and that the identified potential social and environmental impacts are manageable through identified mitigation measures detailed in the screening report, included in Annex 4 to the Project Document. The eight risks identified have been assessed as being of “Moderate” significance:

Risk 1: The programme approach, design and activities might not fully reflect views, priorities and constraints of women and girls and might not ensure equitable opportunities for their involvement in implementation and accessing the project benefits.

Risk 2: Marginalized groups, including Indigenous Peoples (IPs), might be excluded from fully participating in decisions that may affect them; and there may be grievances or objections arising from potentially affected stakeholders.

Risk 3: Poorly designed or executed activities supported by the programme may affect critical habitats and/or environmentally sensitive areas; may include harvesting of natural forests, plantation development, or reforestation; may be related to animal husbandry or harvesting of fish populations or other aquatic species.

Risk 4: Activities supported by the programme may include micro hydropower installations which may alter environmental flows, possibly resulting in adverse impacts to local ecology, possibly resulting in adverse impacts to local ecology.

Risk 5: Project outputs and outcomes may be affected by climate change and natural disasters, which may impact the project beneficiaries, activities, implementation processes and expected results.

Risk 6: The programme may support initiatives impact tangible or intangible cultural heritage in the target landscapes-seascapes.

Risk 7: The programme may support activities where working conditions might not meet national labor laws and international commitments.

Risk 8: Some interventions might involve agrochemicals which may result in the release of pollutants to the environment and in the generation of hazardous waste, as well as pose risks to worker health and safety.

This ESMF has been developed to specify the principles and procedures that will guide the development of social and environmental assessments and management measures during project implementation,, in line with UNDP’s Social and Environmental Standards (SES). The ESMF also details the roles and responsibilities for its implementation and includes a budget and monitoring and evaluation plan. As with earlier operational phases of SGP, the project activities under OP8 will be defined during project implementation through proposals prepared by local civil society organizations and community-based organizations (CSOs/CBOs). Potential impacts from the proposed activities will be assessed by the National Coordinators as part of the grant proposal process and measures to avoid, minimize, mitigate or manage such impacts incorporated into the grant proposals and implemented during the execution of the activities.

The ESMF contains important exclusions: the project will not support any activities which involve or will lead to physical displacement. GEF funds will not be used for any activities which would necessitate, or lead to people being required to relocate, nor any activities which render untenable their continued residency in the project area. The project will also exclude activities that may impact adversely on cultural heritage. Additionally, the project will not implement any activity which would result in a “Substantial” or “High” risk rating under the Social and Environmental Screening Procedure.

The ESMF also codifies the grievance redress mechanism (GRM) for the project, consistent with UNDP SES guidelines and adapted according to the characteristics of the SGP.

This ESMF (and the project SESP) will be disclosed via the UNDP website in accordance with UNDP SES policy.

2 Programme description

The Eighth Operational Phase of the Small Grants Programme (SGP OP8) builds on 30 years of successful experience in empowering local civil society organizations (CSOs) and community-based organizations (CBOs) in designing and leading community driven initiatives that have enhanced household wellbeing, increased awareness and resilience regarding environmental threats, and generated global environmental benefits. With economic development pressures intensifying in many parts of the developing world and the associated rising inequalities, local communities, particularly vulnerable and disadvantaged groups are becoming more and more marginalized, unable to cope with threats associated with ecosystem degradation, biodiversity loss and climate change. Lessons learned and experience gained in previous SGP operational phases have demonstrated that integrated, landscape-seascape approaches are effective in mobilizing multiple stakeholder collaboration, linking local CSOs/CBOs with enabling partners and achieving mutually supportive livelihood and environmental outcomes at scale.

The objective of the SGP OP8 is to engage local CSOs/CBOs in landscape-seascape approaches across the world, providing them access to knowledge and information, capacitating them through learning-by-doing, skills development, and delivering technical and grant assistance for interventions that enhance wellbeing and socioeconomic conditions and generate global environmental benefits. The proposed strategy reflects the key features of GEF Small Grants Programme 2.0, including new approaches to support youth, women and Indigenous Peoples, linking up with complementary mechanisms, such as the Microfinance Initiative and CSO Challenge Program, cooperating with other GEF Agencies, and leveraging opportunities with GEF strategies, including the delivery of the GEF-8 Integrated Programs. In addition, the project will facilitate opportunities for innovation and scaling up, catalyze multi-stakeholder alliances to test new approaches through CSOs, and leverage its dialogue platforms towards greater impact.

An important comparative advantage of SGP is the focus on social inclusion and vulnerable groups, including women, Indigenous Peoples, persons with disabilities, the elderly and youth. Expected results under Part 1 of the SGP OP8 include 225,000 ha of land and ecosystems under restoration, 3,800,000 ha of landscapes under improved practices, 90,000 ha of marine protected areas under improved management, 270,000 ha of marine habitat under improved practices, and 500,000 direct beneficiaries, of whom 250,000 are women.

3 Potential social and environmental impacts

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The eight risks identified have been assessed as being of "Moderate" significance:

Risk 1: The programme approach, design and activities might not fully reflect views, priorities and constraints of women and girls and might not ensure equitable opportunities for their involvement in implementation and accessing the project benefits.

Risk 2: Marginalized groups, including Indigenous Peoples (IPs), might be excluded from fully participating in decisions that may affect them; and there may be grievances or objections arising from potentially affected stakeholders.

Risk 3: Poorly designed or executed activities supported by the programme may affect critical habitats and/or environmentally sensitive areas; may include harvesting of natural forests, plantation development, or reforestation; may be related to animal husbandry or harvesting of fish populations or other aquatic species.

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Risk 6: The programme may support initiatives impact tangible or intangible cultural heritage in the target landscapes-seascapes.

Risk 7: The programme may support activities where working conditions might not meet national labor laws and international commitments.

Risk 8: Some interventions might involve agrochemicals which may result in the release of pollutants to the environment and in the generation of hazardous waste, as well as pose risks to worker health and safety.

4 UNDP's social and environmental standards

UNDP's Social and Environmental Standards (SES), which came into effect 1 January 2015 and were updated in January 2021, underpin UNDP's commitment to mainstream social and environmental sustainability in its programs and projects to support sustainable development, and are an integral component of UNDP's quality assurance and risk management approach to programming.

UNDP uses its [Social and Environmental Screening Procedure](#) (SESP), to identify potential social and environmental risks and opportunities associated with all proposed projects. Each project is scrutinized as to its type, location, scale, sensitivity, and the magnitude of its potential social and environmental impacts.

Projects are required to comply with [UNDP's Social and Environmental Standards \(SES\)](#). The SES underpin UNDP's commitment to mainstream social and environmental sustainability in its programs and projects to support sustainable development. Through the GEF Accreditation Process, the SES are acknowledged to be consistent with the GEF's Environment and Social Standards. The objectives of the standards are to:

- Strengthen the social and environmental outcomes of programs and projects.
- Avoid adverse impacts to people and the environment.
- Minimize, mitigate, and manage adverse impacts where avoidance is not possible.
- Strengthen UNDP and partner capacities for managing social and environmental risks.
- Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people.

The SES, outlined below, are an integral component of UNDP's quality assurance and risk management approach to programming.

Key Elements of UNDPs Social and Environmental Standards (SES)

Overarching Policy	Project-Level Standards	Policy Delivery Process & Accountability
Overarching Principle: Leave No-One Behind Principle: Human Rights Principle: Gender Equality and Women's Empowerment Principle: Sustainability and Resilience Principle: Accountability	Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management Standard 2: Climate Change and Disaster Risks Standard 3: Community Health, Safety and Security Standard 4: Cultural Heritage Standard 5: Displacement and Resettlement Standard 6: Indigenous Peoples Labour and Working Conditions Standard 7: Pollution Prevention and Resource Efficiency Standard 8:	Quality Assurance Screening and Categorization Assessment and Management Stakeholder Engagement and Response Mechanism Access to Information Monitoring, Reporting, Compliance review

The SES are underpinned by an [Accountability Mechanism](#) with two key functions:

- 1) A **Stakeholder Response Mechanism** (SRM) that ensures individuals, peoples, and communities affected by UNDP projects have access to appropriate procedures for hearing and addressing project-related grievances.
- 2) A **Compliance Review** process to respond to claims that UNDP is not in compliance with UNDP's social and environmental policies.

5 Required procedures for screening, assessment and management

Screening Requirements and Procedures

5.1 Screening Requirements and Procedures

An application's social and environmental screening consists of two steps:

- a) the completion of an initial screening checklist by the National Coordinator (NC) (template included in Annex 1), and
- b) the completion of a social and environmental screening by the NC (template included in Annex 2).

Initial Screening

The initial screening should take place at the grant proposal stage and serves to establish if the grant applicant's proposal is exempt from further screening. Grant proposals that consist solely of any of the following activities will be exempt from the social and environmental screening procedure (see **Box 1**). The exemption criteria apply when they comprise the entire scope of the grant, not just one component.

Box 1: Activities exempt from further screening

1. Preparation and dissemination of reports, documents and communication materials;
2. Organization of an event, workshop, training;
3. Strengthening capacities of partners to participate in international negotiations and conferences;
4. Partnership coordination (including UN coordination) and management of networks; and
5. Global/regional projects with no country-level activities (e.g. activities such as knowledge management, inter-governmental processes).

Source: Adapted from UNDP's SESP Exemptions and what projects must be screened¹

The NC will complete the initial screening checklist and determine if it is exempt or not from further screening.

Social and Environmental Screening

The completion of the social and environmental screening procedure should take place at the project proposal stage, including as part of the project planning grant. The NC will be responsible to conduct the social and environmental screening, with inputs from the grant applicants, categorize the risk level and provide guidance to the applicants on ensuring appropriate management measures are incorporated into the grant proposals.

The NC will determine the following:

- The overall risk category of the proposed activities and *whether they are excluded from receiving funding from the SGP*, i.e., categorized as Substantial or High risk (see section 5.2.).
- **Low risk**, defined in the UNDP SES as "Projects that include activities with minimal or no adverse social or environmental risks and impacts. Further assessment of potential adverse social and environmental risks and impacts is not required. However, the SES Programming Principles and stakeholder engagement requirements still apply to project activities."
- **Moderate risk**, defined in the UNDP SES as "Projects that include activities with potential adverse social and environmental risks and impacts that are limited in scale, are largely reversible and can be identified with a reasonable degree of certainty and readily addressed through application of recognized good international practice, mitigation measures and stakeholder engagement during project implementation."
- Whether targeted social and environmental assessments are required ("Moderate" risk) and specific management measures formulated and implemented; and if so, in what form (see section 5.3).

5.2 Risk Categorization

In determining the overall risk category of grant applicants' activities, the NC will assign one of four potential risk categories, which will be based on the approach/methodology prescribed by [UNDP's SESP](https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Social%20and%20Environmental%20Standards/What%20Projects%20Must%20Be%20Screened.pdf):

¹https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Social%20and%20Environmental%20Standards/What%20Projects%20Must%20Be%20Screened.pdf

- High risk: those with potential significant adverse social and environmental risks and impacts that are irreversible, unprecedented and/or which raise significant concerns among potentially affected communities and individuals as expressed during the stakeholder engagement process. **Note:** *High risk projects are excluded from receiving funding from the SGP.*
- Substantial risk: those with potential adverse social and environmental risks and impacts that are more varied and complex than those of Moderate risk activities but remain limited in scale and are of lesser magnitude than those of High risk projects. **Note:** *Substantial risk projects are excluded from receiving funding from the SGP.*
- Moderate risk: those with potential adverse social and environmental risks and impacts that are limited in scale, can be identified with a reasonable degree of certainty, and can be addressed through the application of standard good practice. Nonetheless, targeted assessments and plans may be needed when the full extent of the limited impacts cannot be easily predicted.
- Low risk: those that have minimal or no risks of adverse social or environmental impacts.

If the proposed grant applicant's activities are categorized as High risk or Substantial risk, the NC will communicate to the grant applicant that the proposal cannot be considered for SGP funding. In some cases, it may be possible to make certain adjustments to the proposed activities that would change the risk categorization to Moderate or Low risk.

5.3 Assessment Procedures

Once the NC has determined the risk categorization of the grant proposal to be of Moderate or Low risk, the NC will determine whether targeted social and environmental assessments and management measures are required; and if so, what form. The level of assessment shall be proportionate to the level of risk identified during screening- commensurate with the type, scale, location and significance of impacts posed by the grant applicant's activities. The NC should be guided by the approach/methodology prescribed by [UNDP's SESP](#):

Low Risk: if identified to be of Low risk, no further social and environmental assessment is required; however, all risks should still be monitored throughout grant implementation.

Moderate Risk: if identified as Moderate risk, targeted social and environmental assessments may be required. An outline for targeted social and environmental assessments is offered in Annex 3. UNDP resources regarding further assessment methodologies are compiled in Annex 4. The grantees are expected to follow the principles of the mitigation hierarchy, and shall as a priority seek to avoid most impacts/risks.

5.4 Management Procedures

In many cases, appropriate risk management measures can be incorporated into the grant proposals. The NC will provide guidance to the grant applicants on ensuring such measures are described accordingly.

In the case that the NC has determined that the proposed project requires a targeted social and/or environmental assessment, the grantee may be required to develop and implement a targeted management plan, as the output of that assessment. The targeted management plan must be submitted with the grant applicant's final project proposal and to be reviewed and approved by the National Steering Committee (NSC).

The targeted management plan is a stand-alone document. The targeted management plan should include proposed mitigation and management measures, with responsible parties attributed to each specified measure, along with a monitoring and reporting process outlined.

6 Stakeholder engagement and information disclosure process

6.1 Stakeholder Engagement

Grantees are not required to prepare a stakeholder engagement plan; however, grantees are required to ensure meaningful stakeholder engagement, particularly with aim of ensuring inclusive engagement, including disadvantaged and vulnerable groups or individuals, ensuring equitable opportunities for participation and benefitting from the grantee's activities.

At the project proposal stage, grantees must document stakeholder engagement processes in the relevant section of the grant proposal template.

In project progress reports and final reports, grantees must document stakeholder engagement processes in the relevant sections of grant reporting template.

Stakeholders may raise a grievance at any time to the SGP Country Programme Teams, National Steering Committees (NSCs), Central Programme Management Team (CPMT), UNDP Offices (country, regional, headquarters), or the GEF. Moreover, UNDP's Accountability Mechanism, consisting of the Stakeholder Response Mechanism (SRM) and Social and Environmental Compliance Unit (SECU), provides additional options for grievance redress. The programme level grievance redress mechanism (GRM) is described below in Section 8 and Annex 5 to this ESMF.

6.2 Free, Prior and Informed Consent (FPIC)

As per section 6.1. above, grantees are required to ensure meaningful stakeholder engagement, including of Indigenous Peoples. Free, Prior and Informed Consent (FPIC) of Indigenous Peoples will be required in the circumstances identified in UNDP'S SES (SES 6). . As per exclusions noted in this ESMF, activities that are categorized as Substantial or High risk will be excluded from SGP financing. Please see Annex 4 for UNDP resources in relation to FPIC (and other SES).

The screening and categorization of activities (sections 5.1 and 5.2 above) will need to establish whether there are Indigenous peoples who may be potentially affected by the activities, noting that the mere presence of Indigenous Peoples and other vulnerable or marginalized groups should not automatically signal higher magnitudes of risk. In most cases, SGP grants involving Indigenous Peoples are designed and implemented by the Indigenous communities themselves. If the screening, for example, identifies Indigenous Peoples may be affected by activities they have not proposed for their communities, further analysis should be considered to collect baseline data on those communities, covering key aspects that may be affected by the proposed grant to determine the targeted social and environmental assessments that will be required. The breadth, depth, and type of targeted social and environmental assessments should be proportional to the nature and scale of the proposed activity's potential impacts on the indigenous peoples and the vulnerability of the Indigenous Peoples.

The screening and categorization of activities where there may be risks to Indigenous Peoples will need to recognize that Indigenous Peoples may be affected differently by the activities due to their vulnerabilities, as may be affected by their economic, social and legal status; institutions, customs, culture and language; dependence on their lands and natural resources; and their relationship with the dominant groups and mainstream economy.

Indigenous Peoples' populations are significant in some countries targeted by the programme. SGP has extensive experience in working with IPs, including through the Global Support Initiative for Indigenous Peoples and Community-conserved Territories and Areas (ICCA-GSI) program. SGP proposals are developed by community-based organizations, and any proposed interventions involving Indigenous Peoples will be developed on the basis of the needs and priorities of those IP communities.

6.3 Promotion of Gender Equality and Women's Empowerment

Grantees are not required to prepare a gender action plan unless it is determined to be the appropriate targeted management plan for their project. Grantees are required to promote gender equality and the empowerment of women throughout the design and implementation of their activities.

At the project proposal stage, grant applicants must document the promotion of gender equality and women empowerment in the relevant sections of the proposal template.

In project progress reports and final reports, grantees must document the promotion of gender equality and women empowerment in the relevant sections of these templates.

7 Capacity building

Capacities of the CSO/CBO grant applicants and the SGP National Coordinators will need to be strengthened to ensure effective implementation of the safeguard procedures outlined in this ESMF.

CSOs/CBOs may receive capacity building through preparation grants or other modalities of delivering technical assistance (e.g., local consultants). National Coordinators will receive regular training from UNDP safeguards specialists, as well as targeted capacity building activities.

8 Grievance redress mechanism

This ESMF provides a description of a programme level, multi-tier grievance redress mechanism (GRM) that will be operationalized in each of the participating countries and be available for local, national, regional and global stakeholders.

The description of the GRM is based on UNDP guidelines and the operational characteristics of the SGP.

The UNDP will establish and implement a transparent, fair, and free-to-access GRM. Stakeholders may raise a grievance at any time to the SGP Country Programme Teams, National Steering Committees (NSCs), Central Programme Management Team (CPMT), UNDP Offices (country, regional, headquarters), or the GEF. Moreover, UNDP's Accountability Mechanism, consisting of the Stakeholder Response Mechanism (SRM) and Social and Environmental Compliance Unit (SECU), provides additional options for grievance redress. Further information can be found on the UNDP website at: <http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm/>

GRM task teams will be established and convened by the NSCs on an *ad hoc* basis, to attempt to resolve the grievance, request further information to clarify the issue, refer the grievance to independent mediation or determine the request is outside the scope and mandate of the NSCs and refer it elsewhere.

The mandate of the GRM will be to:

- i. Receive and address any concerns, complaints, notices of emerging conflicts, or grievances (collectively “*grievance*”) alleging actual or potential harm to affected person(s) (the “*claimant(s)*”) arising from the programme.
- ii. Assist in resolution of grievances between and among programme stakeholders; as well as the various government ministries, agencies, and NGOs, and others (collectively, the “*Stakeholders*”) in the context of the programme.
- iii. Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

The functions of the GRM will be to:

- i. Receive, log and track all grievances received.
- ii. Provide regular status updates on grievances to claimants, NCs, NSC members, CPMT, and other relevant stakeholders, as applicable.
- iii. Engage the NSC members and other relevant stakeholders in grievance resolution.
- iv. Process and propose solutions and ways forward related to specific grievances within a period not to exceed sixty (60) days from receipt of the grievance.
- v. Identify growing trends in grievances and recommend possible measures to avoid the same.
- vi. Receive and service requests for, and suggest the use of, mediation or facilitation.
- vii. Elaborate grievance reports, make said reports available to the public, and more generally work to maximize the disclosure of its work (including its reports, findings, and outcomes).
- viii. Ensure increased awareness, accessibility, predictability, transparency, legitimacy, and credibility of the GRM process.
- ix. Collaborate with partner institutions and other entities to conduct outreach initiatives to increase awareness among stakeholders as to the existence of the GRM and how its services can be accessed.
- x. Ensure continuing education of NSC members about the relevant laws and policies that they will need to be aware of to participate in the development of effective resolutions to grievances likely to come before the GRM.
- xi. Monitor follow-up to grievance resolutions, as appropriate.

A more detailed description is presented in the terms of reference for the GRM in Annex 5.

9 Institutional arrangements

The roles and responsibilities associated with the implementation of the ESMF is described below. Implementation of abbreviated ESMPs and targeted management plans is the responsibility of the grantees at the local and country level.

Implementing Agency: UNDP will implement Part 1 of SGP OP8. UNDP provides value-added benefits as programme implementation proceeds in synergy with overall UNDP and UNDP CO programming. Moreover, UNDP provides quality assurance and oversight services for the SGP through its headquarters, regional and

country office levels. As defined by the GEF Council, these services cover: (a) project cycle management services which entail quality assurance and oversight across the full project cycle of project identification, preparation of project concept, preparation of detailed project document, project approval and start-up, project implementation and supervision, and project completion and evaluation; and (b) corporate services in relation to the formulation of policy and strategy for the GEF. Part of this oversight and assurance role is ensuring the programme is implemented in compliance with UNDP's social and environmental standards (SES). UNDP is represented on the SGP Steering Committee as well as the Programme Board.

The SGP Central Programme Management Team (CPMT) at UNDP manages the SGP Global Programme and has overall responsibility for supervising the SGP Country Programme and for the technical and substantive quality of SGP country portfolios, including supervision of the implementation of this ESMF. CPMT develops global strategy, guidelines and standards in the development of SGP projects with the objective of ensuring quality, while also facilitating the design of proposals.

UNDP Country Offices are located in more than 170 countries and play a key role in providing the necessary support at the country level. UNDP provides oversight functions of the program at the global, regional and national levels. In particular, with UNDP's nearly universal presence in countries, its Country Offices have supported the start-up of SGP Country Programmes, recruitment of National Coordinators, local supervisions, and resource mobilization. The UNDP Country Offices provide operational oversight for the SGP Country Programme. The UNDP Resident Representative/Coordinator or delegated staff is a member of the SGP National Steering Committee. In a number of countries, a National Host Institution (NHI) supports the administration of the programme.

SGP National Steering Committee (NSC). NSCs will be established in each participating country and will be composed of government representatives and a majority of nongovernmental membership to reflect the program's mandated focus for CSO/CBO capacity building. The NSC is responsible for selecting and approving projects, and for ensuring their technical and substantive quality. In addition, NSC members are expected to support the Country Programme in resource mobilization and in mainstreaming SGP lessons learned and successes in other national contexts. The primary functions of the SGP Country Programme Office and NSC are the identification, review, and approval of qualified grant proposals that support priorities. Part of these processes will be reviewing and approving the risk categorization and the management plans of the proposed projects.

SGP Country Programme Team: For each participating country, there is an SGP Country Programme Team most often consisting of the National Coordinator (NC) and Programme Assistant (PA), for the operation of the SGP Country Programme on a day-to-day basis. The NC is responsible for all aspects of country programme operations and management, including implementation, management, partnership development, knowledge management and M&E of the programme. NC's will also conduct social and environmental risk screening as part of the grant proposal process, and are also responsible to ensure grantees adhere to the safeguards procedures outlined in this ESMF and in their grant proposals during the execution of the interventions. When fulfilling his/her functions, and in adherence to the country-driven nature of the programme, the NC seeks guidance and support from, and in a sense also reports to the National Steering Committee (NSC) on progress in programme implementation. Most SGP Country Programme Teams are hosted by UNDP Country Offices, which provide required local supervision and oversight of the program. In a limited number of countries, a National Host Institution is selected among the national NGOs with necessary capacity. A SGP Country Programme Strategy is developed in each country to guide SGP operations in-country, enabling strategic use of resources and articulating how the SGP supports national and GEF strategic priorities. The SGP Country Programme Team is responsible for guiding the grant applications in terms of quality and technical and strategic appropriateness of the grant proposals, as well as the requirements associated with identifying and management social and environmental risks.

10 Monitoring and evaluation and reporting

Reporting on progress and issues in the implementation of this EMSF will be documented in the OP8 annual implementation reports (PIRs) and the annual monitoring reports (AMRs). The CPMT will be responsible for compiling these reports, drawing upon information provided by the SGP Country Programme Teams on the implementation of the ESMF. Key issues will be presented to the NSCs during the committee meetings.

The ESMF monitoring and evaluation plan is presented below.

M&E activity	Description	Timeframe	Roles and responsibilities
Track progress of ESMF implementation	The ESMF will be implemented in each of the participating countries, and results reported to the respective NSCs.	Progress reported annually to the NSCs	National Coordinators, with overall technical assistance by the CPMT. UNDP responsible for quality assurance.
Implementation of management plans	Participatory implementation and monitoring and evaluation of mitigation measures, in accordance with targeted management plans	Continuous, for those grant projects requiring targeted management plans	National Coordinators, supervised by UNDP COs and CPMT
Learning	Knowledge, good practices, and lessons learned regarding social and environmental risk management will be captured regularly.	At least annually	National Coordinators, CPMT, UNDP COs
Annual PIRs and AMRs	Progress and issues related to the implementation of the ESMF will be incorporated into the PIRs and AMRs.	Annually	UNDP and CPMT, with inputs from the SGP Country Programme Teams.

11 Schedule and budget for ESMF implementation

The implementation of the ESMF will continue throughout the implementation phase of OP8, as social and environmental risks will be screened for each grant proposal and appropriate management measures ensured accordingly, as warranted.

The screening of social and environmental risks will be conducted by the NC, and the costs for the screening are included in the budget for the NCs. The costs for implementing risk management measures are included in the budget for grants. The costs for monitoring and evaluation of the implementation of the ESMF are included in the budget for the NCs, as well as in the budget for the CPMT.

Annex 1: Initial screening checklist by grant applicant

(Version: June 2022)

Grantee's Information

Project title:	
Name of grant applicant:	
Date:	

Initial checklist

Exempted Activities		
Does the project fall <i>exclusively</i> into the following categories? <i>Projects that are comprised <u>entirely</u> of one or more of the following may be exempt from full screening. Projects are not required to fall into one or more of these categories for consideration.</i>	Yes	No
• Preparation and dissemination of reports, documents and communication materials		
• Organization of an event, workshop, training		
• Strengthening capacities of partners to participate in international negotiations and conferences		
• Partnership coordination (including UN coordination) and management of networks		
• Global/regional projects with no country-level activities (e.g. activities such as knowledge management, inter-governmental processes)		

Conclusion of NC

Exempted	Yes	No

Annex 2: Social and environmental screening template

To be developed during project implementation.

Annex 3: Outline for targeted assessment and targeted management plan

To be developed during project implementation.

Annex 4: UNDP resources

(version: June 2022)

Please see UNDP's [SES Toolkit](#) for additional links and resources regarding assessment methodologies.

[Guidance Note: Social and Environmental Screening Procedure \(SESP\)](#)

[Guidance Note: Social and Environmental Assessment and Management](#)

[SESP Exemptions and What Projects Must Be Screened](#)

UNDP's SES project-level standards	Guidance notes
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	SES Guidance Note: Biodiversity Conservation and Sustainable NRM
Standard 2: Climate Change and Disaster Risks	SES Guidance Note: Climate Change and Disaster
Standard 3: Community Health, Safety and Security	SES Targeted Guidance: Community Health, Safety and Security
Standard 4: Cultural Heritage	SES Targeted Guidance: Cultural Heritage
Standard 5: Displacement and Resettlement	SES Guidance Note: Displacement and Resettlement
Standard 6: Indigenous Peoples	SES Guidance Note: Indigenous Peoples
Standard 7: Labour and Working Conditions	SES Guidance Note: Labour and Working Conditions
Standard 8: Pollution Prevention and Resource Efficiency	SES Targeted Guidance: Pollution Prevention and Resource Efficiency

Source: UNDP SES Toolkit.

Annex 5: Terms of reference for the Grievance Redress Mechanism

Adapted from the following source: Guidance Note, UNDP Social and Environmental Standards (SES), Stakeholder Engagement, Supplemental Guidance: Grievance Redress Mechanisms, October 2017

Mandate

The mandate of the GRM will be to:

- i. Receive and address any concerns, complaints, notices of emerging conflicts, or grievances (collectively “*grievance*”) alleging actual or potential harm to affected person(s) (the “*claimant(s)*”) arising from the programme.
- ii. Assist in resolution of grievances between and among programme stakeholders; as well as the various government ministries, agencies, and NGOs, and others (collectively, the “*Stakeholders*”) in the context of the programme.
- iii. Conduct itself at all times in a flexible, collaborative, and transparent manner aimed at problem solving and consensus building.

Functions

The functions of the GRM will be to:

- i. Receive, log and track all grievances received.
- ii. Provide regular status updates on grievances to claimants, NCs, NSC members, CPMT, and other relevant stakeholders, as applicable.
- iii. Engage the NSC members and other relevant stakeholders in grievance resolution.
- iv. Process and propose solutions and ways forward related to specific grievances within a period not to exceed sixty (60) days from receipt of the grievance.
- v. Identify growing trends in grievances and recommend possible measures to avoid the same.
- vi. Receive and service requests for, and suggest the use of, mediation or facilitation.
- vii. Elaborate grievance reports, make said reports available to the public, and more generally work to maximize the disclosure of its work (including its reports, findings, and outcomes).
- viii. Ensure increased awareness, accessibility, predictability, transparency, legitimacy, and credibility of the GRM process.
- ix. Collaborate with partner institutions and other entities to conduct outreach initiatives to increase awareness among stakeholders as to the existence of the GRM and how its services can be accessed.
- x. Ensure continuing education of NSC members about the relevant laws and policies that they will need to be aware of to participate in the development of effective resolutions to grievances likely to come before the GRM.
- xi. Monitor follow-up to grievance resolutions, as appropriate.

Composition

The GRM will be composed of *ad hoc* GRM task teams in response to specific requests for grievance. The task teams will be balanced in composition and should not include any NSC members with a direct interest or role in the grievance.

Role of the Implementing Partner

UNDP (and responsible parties) will perform the following core functions through the SGP Country Programme Teams:

- Publicize the existence of the GRM and the procedure for using it.
- Receive and log requests for dispute resolution.
- Acknowledge receipt to the requestor.
- Determine eligibility.
- Forward eligible requests to the NSCs for review and action.
- Track and document efforts at grievance/dispute resolution and their outcomes.

NSCs

Based on feedback provided by the GRM task teams, NSCs will perform the following core functions:

- Take direct action to resolve the grievance/dispute (e.g. bring the relevant parties together to discuss and resolve the issue themselves with oversight by the NSC).
- Request further information to clarify the issue, and share that information with all relevant parties, or ensure that a government agency represented on the NSC took appropriate administrative action to deal with a complaint.
- Refer the grievance to independent mediation, while maintaining oversight; or
- Determine that the request was outside the scope and mandate of the NSC and refer it elsewhere (e.g., police or to the courts).

Communicating a grievance

(i) Who can submit a grievance?

A grievance can be sent by any individual or group of individuals that believes it has been or will be harmed by the Project.

If a grievance is to be lodged by a different individual or organization on behalf of those said to be affected, the claimant must identify the individual and/or people on behalf of who the grievance is submitted and provide written confirmation by the individual and/or people represented that they are giving the claimant the authority to present the grievance on their behalf. The GRM will take reasonable steps to verify this authority.

(ii) How is the grievance communicated?

The GRM shall maintain a flexible approach with respect to receiving grievances in light of known local constraints with respect to communications and access to resources for some stakeholders. A grievance can be transmitted to the GRM by any means available (i.e., by email, letter, phone call, meeting, text message, etc.).

The contact information for submitting grievances will be included in the grant agreements in each of the participating countries and available on the UNDP-GEF SGP website.

To facilitate communications with and between the GRM and potential claimants, the GRM will receive support from the NSC members' institutions, local government, and civil society organizations.

(iii) What information should be included in a Grievance?

The grievance should include the following information:

- (a) the name of the individual or individuals making the complaint (the "claimant").
- (b) a means for contacting the claimant (email, phone, address, other).
- (c) if the submission is on behalf of those alleging potential or actual harm, the identity of those on whose behalf the grievance is made, and written confirmation by those represented of the claimant's authority to lodge the grievance on their behalf.
- (d) the description of the potential or actual harm.
- (e) Claimant's statement of the risk of harm or actual harm (description of the risk/harm and those affected, names of the individual(s) or institutions responsible for the risk/harm, the location(s) and date(s) of harmful activity).
- (f) what has been done by the claimant thus far to resolve the matter.
- (g) whether the claimant wishes that their identity is kept confidential.
- (h) the specific help requested from the GRM.

Claimants are not required to provide all of the information listed above. Initially, the claimant need only provide enough information to determine eligibility. If insufficient information is provided, the GRM has an obligation to make a substantial, good faith effort to contact the complainant to request whatever additional information is needed to determine eligibility, and if eligible, to develop a proposed response.

Logging, acknowledgment, and tracking

All grievances and reports of conflict will be received, assigned a tracking number, acknowledged to claimant, recorded electronically, and subject to periodic updates to the claimant as well as the office file.

Within one (1) week from the receipt of a grievance, the GRM will send a *written* acknowledgement to Claimant of the Grievance received with the assigned tracking number.²

Each Grievance file will contain, at a minimum:

- i. The date of the request as received.
- ii. The date the written acknowledgment was sent (and oral acknowledgment if also done).
- iii. The dates and nature of all other communications or meetings with the claimant and other relevant Stakeholders.
- iv. Any requests, offers of, or engagements of a mediator.
- v. The date and records related to the proposed solution/way forward.
- vi. The acceptance or objections of the claimant (or other stakeholders).
- vii. The proposed next steps if objections arose.
- viii. The alternative solution if renewed dialogues were pursued.
- ix. Notes regarding implementation.
- x. Any conclusions and recommendations arising from monitoring and follow up.

Maintaining Communication and Status Updates

Files for each grievance will be available for review by the claimant and other stakeholders involved in the grievance, or their designated representative(s). Appropriate steps will be taken to maintain the confidentiality of the claimant if previously requested.

The GRM will provide periodic updates to the claimant regarding the status and current actions to resolve the Grievance. Not including the acknowledgment of receipt of the grievance, such updates will occur within reasonable intervals (not greater than every thirty (30) days).

Investigation and Consensus Building

Within one (1) week of receiving a grievance, UNDP (and responsible parties) through the SGP Country Programme Teams will notify the NSCs and any other relevant institutions of the receipt of the grievance.

The designated GRM task team will promptly engage the claimant and any other relevant stakeholders deemed appropriate, to gather all necessary information regarding the Grievance.

Through the NSCs, the GRM will have the authority to request from relevant government institutions any information (documents or otherwise) relevant to resolving the grievance and avoiding future grievances of the same nature.

As necessary, the NSCs will convene one or more meetings with relevant individuals and institutions as needed.

The objective of all investigative activities is to develop a thorough understanding of the issues and concerns raised in the grievance and facilitate consensus around a proposed solution and way forward.

The NSC members will procure the cooperation of their respective staff with the investigation.

At any point during the investigation, the GRM task teams may determine that an onsite field investigation is necessary to properly understand the Grievance and develop an effective proposed solution and way forward.

Seeking advisory opinion and/or technical assistance

At any point after receiving a grievance and through to implementation of the proposed solution and way forward, the NSCs and/or GRM task teams may seek the technical assistance and/or an advisory opinion from any entity or individual in [country] or internationally which may reasonably be believed to be of assistance.

Making Proposed Actions and Solutions Public and Overseeing Implementation

The NSCs will communicate to the claimant one or more proposed actions or resolutions and clearly articulate the reasons and basis for proposed way forward.

If the Claimant does not accept the resolution, the NSCs and GRM task teams will engage with the claimant to provide alternative options.

² Oral acknowledgments can be used for expediency (and also recorded), but must be followed by a written acknowledgment.

If the claimant accepts the proposed solution and way forward, the GRM will continue to monitor the implementation directly and through the receipt of communications from the Claimant and other relevant parties. As necessary, the GRM may solicit information from the relevant parties and initiate renewed dialogue where appropriate.

In all communications with the claimant and other stakeholders, the GRM will be guided by its problem-solving role, non-coercive principles and process, and the voluntary, good faith nature of the interaction with the claimant and other stakeholders.

Monitoring and Evaluation

Upon request, the GRM will make available information describing the work of the GRM, listing the number and nature of the grievances received and processed, dates and descriptions of the grievances received, resolutions, referrals and ongoing efforts at resolution, and status of implementation of ongoing resolutions. The level of detail provided with regard to any individual grievance will depend on the sensitivity of the issues and stakeholder concerns about confidentiality, while providing appropriate transparency about the activities of the GRM.

Mediation

For the option of independent mediation, mediators on the roster/panel should have at least the following qualifications:

- Professional experience and expertise in impartial mediation.
- Knowledge of the SGP in the relevant country, including an understanding of Indigenous and tribal culture and practices, as appropriate.
- National and local language proficiency, as appropriate.
- Availability in principle for assignments of up to 20 days.
- Willingness to declare all relationships and interests that may affect their ability to act as impartial mediators in particular cases.

If mediation succeeded in resolving the dispute or grievance, the outcome will be documented by UNDP (and responsible parties) through the Country Programme Teams and reviewed by the NSCs and GRM task team. If it is unsuccessful, stakeholders will have the option to return to the NSCs, GRM task teams, or the UNDP Accountability Mechanism for assistance.

Without Prejudice

The existence and use of this GRM is without prejudice to any existing rights under any other complaint mechanisms that an individual or group of individuals may otherwise have access to under national or international law or the rules and regulations of other institutions, agencies, or commissions.